

02/21/02



JC963 U.S. PTO

Use type a plus sign (+) inside this box ☐
 Approved for use through 10/31/2002. OMB 0651-0032  
 U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	ICC-130.0 (85124)
First Inventor	Ashley J. Birkett
Title	Immunogenic Hbc Chimera Particles Stabilized With An N-Terminal ..
Express Mail Label No	EL8546927301S

APPLICATION ELEMENTS		ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, D.C. 20231	
See MPEP chapter 600 concerning utility patent application contents			
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table Computer Program (Appendix)	<div style="writing-mode: vertical-rl; transform: rotate(180deg);">           02/21/02            107820.01            U.S. PTO         </div>	
2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submiss (if applicable, all necessary)		
3. <input checked="" type="checkbox"/> Specification (Total Pages <u>157</u> ) (preferred arrangement set forth below) - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the invention - Brief Summary of the invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure	a. <input checked="" type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on. i. <input type="checkbox"/> CD-ROM or CD-R (2 copies), o. ii. <input checked="" type="checkbox"/> paper c. <input checked="" type="checkbox"/> Statements verifying identity of above copies		
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) (Total Sheets <u>8</u> )	<b>ACCOMPANYING APPLICATION PARTS</b> 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee) 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449- <input type="checkbox"/> Copies of IDS Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent 17. <input checked="" type="checkbox"/> Other: UNEXECUTED DECLARATION AND POWER OF ATTORNEY		
5. Oath or Declaration (Total Pages <u>1</u> ) a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed) i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)	6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76		
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76 <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input checked="" type="checkbox"/> Continuation-in-part (CIP) of prior application No.: <u>09/930,915</u> Prior application information: Examiner _____ Group / Art Unit _____ For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.			
<b>19. CORRESPONDENCE ADDRESS</b> <input type="checkbox"/> Customer Number or Bar Code Label <input checked="" type="checkbox"/> Correspondence address below (Insert Customer No. or Attach bar code label here)			
Name	Edward P. Gamson, Esq. WELSH & KATZ, LTD.		
Address	120 South Riverside Plaza 22nd Floor		
City	Chicago	State	Illinois
Country	USA	Telephone	(312) 655-1500
		Zip Code	60606
		Fax	(312) 655-1501

Name (Print/Type)	Edward P. Gamson	Registration No. (Attorney/Agent)	29,381
Signature	<i>Edward P. Gamson</i>	Date	02/21/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Approved for use through 10/31/2002 OMB 0651-0032  
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT \$1,111.00

## Complete if Known

Application Number Unknown  
Filing Date February 21, 2002  
First Named Inventor Ashley J. Birkett  
Examiner Name Unknown  
Group Art Unit Unknown  
Attorney Docket No. (85124) ICC-130.0 US

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None  
☐ Deposit Account  
Deposit Account Number 23-0920  
Deposit Account Name Welsh & Katz, Ltd.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☒ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	
SUBTOTAL (1)			\$370.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND

Extra Claims	Fee from below	Fee Paid
Total Claims 93 - 20** = 73 X 9.00 = 657.00		
Independent Claims 8 - 3** = 5 X 42.00 = 210.00		
Multiple Dependent		

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 84	202 42	Independent claims in excess of 3	
104 280	204 140	Multiple dependent claim, if not paid	
109 84	209 42	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			\$741.00

\*\*or number previously paid, if greater, For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non - English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR § 1.17(g)	
126 180	126 180	Submission of Information Disclosure Statement	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

## SUBMITTED BY

Name (Print/Type) Edward P. Gamson, Esq.  
Signature *Edward P. Gamson*

Registration No. (Attorney/Agent) 29,381

## Complete (if applicable)

Telephone (312) 655-1500  
Date February 21, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Ashley J. Birkett	)	
Serial No.: Not yet assigned	)	Attorney Docket:
Filing Date: February 21, 2002	)	ICC-130.0
	)	(4564/85124)
For: IMMUNOGENIC HBc CHIMER PARTICLES	)	Group Art Unit:
STABILIZED WITH AN N-TERMINAL	)	Unknown
CYSTEINE	)	
Examiner: Not yet assigned	)	

STATEMENT UNDER 37 CFR § 1.821(f)

Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

Sir:

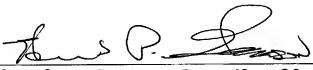
I hereby state that the enclosed computer readable form of the Sequence Listing (file: ICC130prj.ST25.txt in ASCII format copied onto the accompanying diskette from PatentIn Ver. 3.1 on this date) and the paper copy of the Sequence Listing (pages 1 through 97) forming a part of the disclosure of the invention filed herewith on this day are identical.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable

New CIP Patent Application -2-  
Ashley J. Birkett

by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Respectfully submitted,

By   
Edward P. Gamson, Reg. No. 29,381

Enclosures

Computer Readable Disk and Sequence List  
Patent Application and Fee  
Unexecuted Declaration and Power of Attorney  
Transmittal Letter  
Application Data Sheet  
Fee Sheet

WELSH & KATZ, LTD.  
120 South Riverside Plaza, 22nd Floor  
Chicago, Illinois 60606  
Phone (312) 655-1500  
Fax No. (312) 655-1501

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this Statement, together with a Computer readable disk, Transmittal Letter and its stated enclosures and Patent Application and Fee, are being deposited with the United States Postal Service as Express Mail Label No. EL854692730US, postage prepaid, in an envelope addressed to: Commissioner for Patents, Box Patent Application, Washington, D.C. 20231 on February 21, 2002.

  
\_\_\_\_\_

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Ashley J. Birkett

Docket No.

ICC-130.0 (85124)

Serial No.  
New ApplicationFiling Date  
February 21, 2002Examiner  
UnknownGroup Art Unit  
Unknown

Invention: IMMUNOGENIC HBc CHIMER PARTICLES STABILIZED WITH AN N-TERMINAL CYSTEINE

I hereby certify that this Appln and Fee Transmittal Forms, Patent Appln and its stated enclosures and fee  
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.

20231-0001 on February 21, 2002  
(Date)James Cato

(Typed or Printed Name of Person Mailing Correspondence)

James C. Cato  
(Signature of Person Mailing Correspondence)EL854692730US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.